

Executive Branch Personnel Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Rayburn, Joel D.

Special Envoy for Syria and DAS-LEV NEA, Bureau of Near Eastern Affairs, Department of State

Date of Appointment: 06/05/2018

Other Federal Government Positions Held During the Preceding 12 Months:

Senior Director, National Security Council Staff, 1/2017 - 6/2018

Electronic Signature - I certify that the statements I have made in this form are true, complete and correct to the best of my knowledge.

eSigned in FDM by:

Joel D. Rayburn

User ID: [REDACTED]



06/13/2018

Agency Ethics Official's Opinion - On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations(Subject to any comments below).

eSigned in FDM by:

Lana L. Vahab

User ID: [REDACTED]



06/15/2018

Other review conducted by

U.S. Office of Government Ethics Certification

1. Filer's Positions Held Outside United States Government

#	NAME	CITY, STATE	OGE TYPE	POSITION	FROM	TO
1	Atlantic Council Future of Iraq Task Force	Washington, DC, USA	Non-Profit Organization	Uncompensated Member	02/2016	01/2017
2	Hoover Institution Working Group on Islamism	Stanford, CA, USA	Educational Institution	Uncompensated member	01/2016	01/2017

3	New America Foundation National Security Studies	Washington, Non-Profit DC, USA	Uncompensated Organization fellow	01/2016	01/2017
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2. Filer's Employment Assets & Income and Retirement Accounts

This report has no reported **Assets**

3. Filer's Employment Agreements and Arrangements

This report has no reported **Agreements and Arrangements**

4. Filer's Sources of Compensation Exceeding \$5,000 in a Year

This report has no reported **Compensation Exceeding \$5,000**

5. Spouse's Employment Assets & Income and Retirement Accounts

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Institute for State Effectiveness	N/A		Income from personal services	
2	Smith Richardson Foundation	N/A		Income from personal services	
3	Yale University	N/A		Salary	

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Primary Home, 4501 Lowell St NW	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)
2	49 St Stephens Gardens, Flat 5, London, UK	N/A	Over \$1,000,000	Rent and Royalties	\$50,001 - \$100,000
3	Edward Jones SEP-IRA	N/A	\$250,001 - \$500,000	Dividends, Capital Gains	\$5,001 - \$15,000
3.1	Edward Jones Money Market Fund Retirement Shares	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.2	American Intermediate Bond Fund of America CL F3 (IFBFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.3	American New World CL F3 (FNWFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.4	Edgewood Growth CL I (EGFIX)	Yes	\$15,001 - \$50,000	Capital Gains	\$201 - \$1,000
3.5	Hartford Core Equity CL F (HGIFX)	Yes	\$15,001 - \$50,000	Dividends, Capital Gains	\$201 - \$1,000
3.6	John Hancock Bond CL R6 (JHBSX)	Yes	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

3.7	John Hancock International Growth CL R6 (JIGTX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.8	JP Morgan Mid Cap Value CL L (FLMVX)	Yes	\$15,001 - \$50,000	Dividends, Capital Gains	\$201 - \$1,000
3.9	MFS Corporate Bond CL R6 (MFBKX)	Yes	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
3.10	MFS Growth CL R6 (MFEKX)	Yes	\$15,001 - \$50,000	Capital Gains	\$201 - \$1,000
3.11	MFS International New Discovery CL R6 (MIDLX)	Yes	\$1,001 - \$15,000	Dividends, Capital Gains	\$201 - \$1,000
3.12	MFS International Value CL R6 (MINJX)	Yes	\$15,001 - \$50,000	Dividends, Capital Gains	\$201 - \$1,000
3.13	MFS New Discovery Value CL R6 (NDVVX)	Yes	\$15,001 - \$50,000	Dividends, Capital Gains	\$201 - \$1,000
3.14	MFS Value CL R6 (MEIKX)	Yes	\$15,001 - \$50,000	Dividends, Capital Gains	\$1,001 - \$2,500
3.15	Oppenheimer International Small-Mid Company CL I (OSCIX)	Yes	\$15,001 - \$50,000	Dividends, Capital Gains	\$201 - \$1,000
3.16	PIMCO Commodities Plus Strategy CL I (PCLIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.17	First Trust Capital Strength Exchange Traded Fund (FTCS)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.18	John Hancock Bond Fund CL I	Yes	None (or less than \$1,001)	Dividends	\$201 - \$1,000
3.19	UIT First Trust Global Dividend Fund	Yes	None (or less than \$1,001)	Dividends	\$201 - \$1,000
4	Edward Jones Roth IRA	N/A	\$50,001 - \$100,000	Dividends, Capital Gains	\$1,001 - \$2,500
4.1	American Mutual CL F3 (AFMFX)	Yes	\$1,001 - \$15,000	Dividends, Capital Gains	\$201 - \$1,000
4.2	John Hancock Bond CL R6	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.3	John Hancock International Growth CL R6 (JIGTX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.4	JP Morgan Small Cap Equity CL R6 (VSENX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.5	MFS Corporate Bond CL R6 (MFBKX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.6	MFS Emerging Markets Debt CL R6 (MEDHX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.7	MFS Growth CL R6	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.8	MFS International Value CL R6 (MINJX)	Yes	\$1,001 - \$15,000	Dividends, Capital Gains	\$201 - \$1,000
4.9	MFS Value CL R6 (MEIKX)	Yes	\$1,001 - \$15,000	Dividends, Capital Gains	\$201 - \$1,000
4.10	Principal MidCap CL I (PCBIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

4.11	T. Rowe Price International Discovery CL I (TIDDX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.12	Victory Sycamore Established Value CL I (VEVIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.13	First TR DJ Internet Index ETF (FDN)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.14	John Hancock Bond Fund CL I	Yes	None (or less than \$1,001)	Dividends	\$201 - \$1,000
5	Bank of America Checking Account	N/A	\$1,001 - \$15,000		None (or less than \$201)
6	NatWest Checking Account	N/A	\$1,001 - \$15,000		None (or less than \$201)
7	Bank Fund Staff Federal Credit Union Checking Account	N/A	\$15,001 - \$50,000		None (or less than \$201)
8	College America Growth Portfolio Fund CL C (CGPCX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
9	College America Growth Portfolio Fund CL C (CGPCX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
10	College America Growth Portfolio Fund CL C (CGPCX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

7. Transactions

This report has no reported **Transactions**

8. Liabilities

#	CREDITOR NAME	TYPE OF LIABILITY	AMOUNT	YEAR INCURRED	INTEREST RATE	TERM
1	Bank Fund Staff Federal Credit Union	Credit Card/Revolving Charge Account	\$15,001 - \$50,000	2017	7.74%	On Demand
2	Bank of America Visa	Credit Card/Revolving Charge Account	\$15,001 - \$50,000	2011	Prime + 7.99%	On Demand
3	Citibank Master Card	Credit Card/Revolving Charge Account	\$15,001 - \$50,000	2016	Prime + 11.99%	On Demand
4	Nationwide Mortgage	Mortgage, London, GBR	\$250,001 - \$500,000	1997	2.5%	30 years
5	USAA Visa	Credit Card/Revolving Charge Account	\$15,001 - \$50,000	2010	Prime + 5.65%	On Demand

9. Gifts and Travel Reimbursements

This report has no reported **Gifts and Reimbursements**

Summary of Contents

1. Filer's Positions Held Outside United States Government

Part 1 discloses positions that the filer held at any time during the reporting period (excluding positions with the United States Government). Positions are reportable even if the filer did not receive compensation.

This section does not include the following: (1) positions with religious, social, fraternal, or political organizations; (2) positions solely of an honorary nature; (3) positions held as part of the filer's official duties with the United States Government; (4) mere membership in an organization; and (5) passive investment interests as a limited partner or non-managing member of a limited liability company.

2. Filer's Employment Assets & Income and Retirement Accounts

Part 2 discloses the following:

- Sources of earned and other non-investment income of the filer totaling more than \$200 during the reporting period (e.g., salary, fees, partnership share, honoraria, scholarships, and prizes)
- Assets related to the filer's business, employment, or other income-generating activities that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in income during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)
- This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

3. Filer's Employment Agreements and Arrangements

Part 3 discloses agreements or arrangements that the filer had during the reporting period with an employer or former employer (except the United States Government), such as the following:

- Future employment
- Leave of absence
- Continuing payments from an employer, including severance and payments not yet received for previous work (excluding ordinary salary from a current employer)
- Continuing participation in an employee welfare, retirement, or other benefit plan, such as pensions or a deferred compensation plan
- Retention or disposition of employer-awarded equity, sharing in profits or carried interests (e.g., vested and unvested stock options, restricted stock, future share of a company's profits, etc.)

4. Filer's Sources of Compensation Exceeding \$5,000 in a Year

Part 4 discloses sources (except the United States Government) that paid more than \$5,000 in a calendar year for the filer's services during any year of the reporting period.

- The filer discloses payments both from employers and from any clients to whom the filer personally provided services. The filer discloses a source even if the source made its payment to the filer's employer and not to the filer. The filer does not disclose a client's payment to the filer's employer if the filer did not provide the services for which the client is paying.

5. Spouse's Employment Assets & Income and Retirement Accounts

Part 5 discloses the following:

- Sources of earned income (excluding honoraria) for the filer's spouse totaling more than \$1,000 during the reporting period (e.g., salary, consulting fees, and partnership share)
- Sources of honoraria for the filer's spouse greater than \$200 during the reporting period
- Assets related to the filer's spouse's employment, business activities, other income-generating activities that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in income during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

- This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's spouse's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF). Amounts of income are not required for a spouse's earned income (excluding honoraria).

6. Other Assets and Income

Part 6 discloses each asset, not already reported, that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in investment income during the reporting period. For purposes of the value and income thresholds, the filer aggregates the filer's interests with those of the filer's spouse and dependent children.

- This section does not include the following types of assets: (1) a personal residence (unless it was rented out during the reporting period); (2) income or retirement benefits associated with United States Government employment (e.g., Thrift Savings Plan); and (3) cash accounts (e.g., checking, savings, money market accounts) at a single financial institution with a value of \$5,000 or less (unless more than \$200 of income was produced). Additional exceptions apply. Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

7. Transactions

Part 7 discloses purchases, sales, or exchanges of real property or securities in excess of \$1,000 made on behalf of the filer, the filer's spouse or dependent child during reporting period.

- This section does not include transactions that concern the following: (1) a personal residence, unless rented out; (2) cash accounts (e.g., checking, savings, CDs, money market accounts) and money market mutual funds; (3) Treasury bills, bonds, and notes, and (4) holdings within a federal Thrift Savings Plan account. Additional exceptions apply.

8. Liabilities

Part 8 discloses liabilities over \$10,000 that the filer, the filer's spouse or dependent child owed at any time during the reporting period.

- This section does not include the following types of liabilities: (1) mortgages on a personal residence, unless rented out (limitations apply for PAS filers); (2) loans secured by a personal motor vehicle, household furniture, or appliances, unless the loan exceeds the item's purchase price; and (3) revolving charge accounts, such as credit card balances, if the outstanding liability did not exceed \$10,000 at the end of the reporting period. Additional exceptions apply.

9. Gift and Travel Reimbursements

This section discloses:

- Gifts totaling more than \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$390 that the filer, the filer's spouse, and the dependent children received from any one source during the reporting period.
- For purposes of this section, the filer need not aggregate any gift or travel reimbursement with a value of \$156 or less. Regardless of the value, this section does not include the following items: (1) anything received from relatives; (2) anything received from the United States Government or from the District of Columbia, state, or local governments; (3) bequests and other forms of inheritance; (4) gifts and travel reimbursements given to the filer's agency in connection with the filer's official travel; (5) gifts of hospitality (food, lodging, entertainment) at the donor's residence or personal premises; and (6) anything received by the filer's spouse or dependent children totally independent of their relationship to the filer. Additional exceptions apply.

Privacy Act Statement

Title I of the Ethics in Government Act of 1978, as amended (the Act), 5 U.S.C. app. § 101 et seq., as amended by the Stop Trading on Congressional Knowledge Act of 2012 (Pub. L. 112-105) (STOCK Act), and 5 C.F.R. Part 2634 of the U.S. Office of Government Ethics regulations require the reporting of this information. The primary use of the information on this report is for review by Government officials to determine compliance with applicable Federal laws and regulations. This report may also be disclosed upon request to any requesting person in accordance with sections 105 and 402(b)(1) of the Act or as otherwise authorized by law. You may inspect applications for public access of your own form upon request. Additional disclosures of the information on this report may be made: (1) to any requesting person, subject to the limitation contained in section 208(d)(1) of title 18, any determination granting an exemption pursuant to sections 208(b)(1) and 208(b)(3) of title 18; (2) to a Federal, State or local law enforcement agency if the disclosing agency becomes aware of violations or potential violations of law or regulation; (3) to another Federal agency, court or party in a court or Federal administrative proceeding when the Government is a party or in order to comply with a judge-issued subpoena; (4) to a source when necessary to obtain information relevant to a conflict of interest investigation or determination; (5) to the National Archives and Records Administration or the General Services Administration in records management inspections; (6) to the Office of Management and Budget during legislative coordination on private relief legislation; (7) to the Department of Justice or in certain legal proceedings when the disclosure agency, an employee of the disclosing agency, or the United States is a party to litigation or has an interest in the litigation and the use of such records is deemed relevant and necessary to the litigation; (8) to reviewing officials in a new office, department or agency when an employee transfers or is detailed from one covered position to another; (9) to a Member of Congress or a congressional office in response to an inquiry made on behalf of an individual who is the subject of the record; (10) to contractors and

other non-Government employees working on a contract, service, or assignment for the Federal Government when necessary to accomplish a function related to an OGE Government-wide system of records; and (11) on the OGE Website and to any person, department or agency, any written ethics agreement filed with OGE by an individual nominated by the President to a position requiring Senate confirmation. See also the OGE/GOVT-1 executive branch-wide Privacy act system of records.

Public Burden Information

This collection of information is estimated to take an average of three hours per response, including time for reviewing the instructions, gathering the data needed, and completing the form. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Program Counsel, U.S. Office of Government Ethics (OGE), Suite 500, 1201 New York Avenue, NW, Washington, DC 20005-3917.

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